

VZCZCXRO4062  
OO RUEHAP RUEHDT RUEHKN RUEHKR RUEHMJ RUEHPB  
DE RUEHC #0301/01 3461944  
ZNR UUUUU ZZH  
O 111927Z DEC 08  
FM SECSTATE WASHDC  
TO RUEHAP/AMEMBASSY APIA IMMEDIATE 1281  
RUEHBD/AMEMBASSY BANDAR SERI BEGAWAN IMMEDIATE 7778  
RUEHBK/AMEMBASSY BANGKOK IMMEDIATE 6994  
RUEHBJ/AMEMBASSY BEIJING IMMEDIATE 4703  
RUEHBY/AMEMBASSY CANBERRA IMMEDIATE 3136  
RUEHDT/AMEMBASSY DILI IMMEDIATE 5305  
RUEHHI/AMEMBASSY HANOI IMMEDIATE 8283  
RUEHJA/AMEMBASSY JAKARTA IMMEDIATE 2049  
RUEHKN/AMEMBASSY KOLONIA IMMEDIATE 1919  
RUEHKR/AMEMBASSY KOROR IMMEDIATE 1539  
RUEHKL/AMEMBASSY KUALA LUMPUR IMMEDIATE 0470  
RUEHMJ/AMEMBASSY MAJURO IMMEDIATE 6569  
RUEHML/AMEMBASSY MANILA IMMEDIATE 8993  
RUEHPF/AMEMBASSY PHNOM PENH IMMEDIATE 8914  
RUEHPB/AMEMBASSY PORT MORESBY IMMEDIATE 1378  
RUEHGO/AMEMBASSY RANGOON IMMEDIATE 7848  
RUEHUL/AMEMBASSY SEOUL IMMEDIATE 9474  
RUEHGP/AMEMBASSY SINGAPORE IMMEDIATE 9798  
RUEHSV/AMEMBASSY SUVA IMMEDIATE 7549  
RUEHKO/AMEMBASSY TOKYO IMMEDIATE 7099  
RUEHUM/AMEMBASSY ULAANBAATAR IMMEDIATE 6632  
RUEHVN/AMEMBASSY VIENTIANE IMMEDIATE 3810  
RUEHWL/AMEMBASSY WELLINGTON IMMEDIATE 6417  
RUEHHK/AMCONSUL HONG KONG IMMEDIATE 6037

UNCLAS SECTION 01 OF 22 STATE 130301

SIPDIS

FOR: CHIEFS OF MISSION AND PRINCIPAL OFFICERS FROM EAP ASSISTANT  
SECRETARY CHRISTOPHER R. HILL

E.O. 12958: N/A

TAGS: [ABUD](#) [AFIN](#) [AMGT](#) [EAID](#) [KICA](#) [KSEP](#) [KSPR](#) [PREL](#) [EAP](#)  
SUBJECT: CORRECTED COPY: CONSOLIDATED FY 2011 MISSION  
STRATEGIC PLAN GUIDANCE FOR EAST ASIA AND THE PACIFIC

11. Summary: The following cable provides consolidated guidance from Washington to missions for the preparation of FY 2011 Mission Strategic Plans (MSP). This cable is divided into the following sections: Regional Bureau Guidance; Bureau of Resource Management (RM), Office of Strategic and Performance Planning Overview and Guidance; Functional Bureau Guidance; and Management Bureau Guidance. End Summary

12. REGIONAL BUREAU GUIDANCE: Bureau of East Asian and Pacific Affairs Policy Overview and Guidance:  
Mission Strategic Plans are the first step in the annual strategic planning process of the EAP Bureau, as well as of the Department. As in previous years, your "Business Plan" should define your mission's most important goals and clearly articulate and justify the resources required to achieve those goals. In an increasingly constrained budget environment, it is essential that MSPs establish clear links between U.S. foreign policy goals and resource requirements, and provide a clear sense of the relative priority of each resource request. The MSPs will serve as source documents for policy and program briefs as well as become the basis for development of the EAP Bureau Strategic Plan (BSP) and our subsequent requests for state operations and foreign operations funding. Please consult the FY 2010 EAP MSP as a reference in preparing your own FY 2011 MSP. Interagency coordination via the country team is essential to ensure that appropriate prioritization of foreign assistance requests has been achieved. EAP's ability to successfully prepare and defend missions' resource requests throughout subsequent phases of the budget cycle is greatly dependent upon the strength of your justifications. Resource requests which are submitted subsequent to the MSP submission, or which may primarily reflect individual agency priorities are much less likely to receive favorable treatment.

Please also note that some foreign assistance programs are centrally allocated based upon global strategy. Please ensure to account for any policy priorities that may bring emergent resource requests with them. Finally, please take into account the growing priorities of climate change, food security and energy security, detailing these priorities where relevant in the Chief of Mission Statement, Foreign Assistance Paper and resource request tables. Give favorable treatment. Please also note that some foreign assistance programs are centrally allocated based upon global strategy. Please ensure to account for any policy priorities that may bring emergent resource requests with them. Finally, please take into account the growing priorities of climate change, food security and energy security, detailing these priorities where relevant in the Chief of Mission Statement, Foreign Assistance Paper and resource request tables.

¶3. MSP OVERVIEW AND GUIDANCE: Planning is critical to implement foreign policy goals, as well as to ensure accountability to Congress and the American people. The MSPs will continue to define how mission activities support overarching USG foreign policy goals.

¶4. MSPs will capture high-level diplomatic and foreign assistance priorities, resource needs, and performance

STATE 00130301 002 OF 022

data. The MSP should be an interagency, country team effort that will serve as the forward planning tool for overseas missions. The MSP is the first step in a robust annual planning and performance evaluation process that contributes to the Department's results oriented performance efforts. For this cycle, the MSPs will inform the FY 2011 State Operations and Foreign Operations budget requests, including mission-specific increases/decreases in U.S. Direct Hire positions.

¶5. The web-based MSP application allows direct input and submission of all narrative and resource information. Mission personnel will obtain access to the MSP application from their mission's designated MSP Coordinator. The MSP Coordinator will ensure that all sections of the plan are properly completed before the MSP is formally submitted to Washington. Software user instructions will be available on the MSP website which is found at <http://spp.rm.state.gov/spp800X600template.cfm?id=8>.

MSP Coordinator instructions on granting MSP user access will be sent several weeks before the MSP launch in early December 2008. The MSPs will be due to Washington on February 2, 2009. To keep the MSPs concise, fixed text limits have been established for each of the narrative and resource request justification sections. A 24/7 help desk service will be provided during the peak MSP drafting and submission period.

¶6. There are several notable modifications to the MSP for FY 2011:

- Strategic Goal Allocation - The allocation of U.S. Direct-Hire Time by strategic goal has been eliminated.
- U.S. Direct-Hire Human Resource Requests - Missions will enter position support costs for individual requests in the Human Resources request screen.
- Performance Results - Missions will enter performance results relative to the FY 2008 performance targets.
- Previous Year Chief of Mission Statement and Foreign Assistance Priorities Narrative Pre-populated - Missions have the ability to pre-populate the FY 2011 MSP application with the previous year's Chief of Mission Statement and Foreign Assistance Priorities Narrative.
- Foreign Assistance Requests - Funding requests will be collected only at the area level except for the Investing

in People objective. For this objective only, Missions will enter Foreign Assistance request levels at the element level.

- Summary of Foreign Assistance Request - A revised Foreign Assistance Summary table will replace the one-page summary of the Foreign Assistance Resource Request.

- The Bureau of Democracy, Human Rights and Labor Democracy Strategies Requirement -All posts in non-democratic and democratic transition countries are required to incorporate their ADVA democracy strategy into their MSP. This replaces last year's requirement for a stand alone ADVA democracy strategy paper.

¶7. Global Partnership Clearinghouse: The Global Partnership Center (GPC) leads efforts to promote the use of public-private partnerships (PPPs) to advance U.S. international affairs objectives. The GPC is a resource to assist Mission and Bureau efforts to collaboratively engage the private sector, foundations, civil society and others through partnerships. Created by the GPC, the Global Partnership Clearinghouse, is the first-ever

STATE 00130301 003 OF 022

database of PPPs engaged under Chief of Mission authority. The Clearinghouse was launched for the first time in association with the FY 2010 MSP and BSP processes and, thanks to the strong support from Mission coordinators, captured information on more than 640 PPPs. Again this year, in association with the FY 2011 MSP process, the GPC will gather information on existing and planned multi-sector partnerships in which post is engaged under Chief of Mission authority. The Clearinghouse gathers PPP information through a custom, online application and can be accessed via the same webpage as the MSP application. Additional information regarding the Global Partnership Center will be posted at <http://gpc.state.gov/>. Please direct any questions regarding the Clearinghouse to [GPC@State.gov](mailto:GPC@State.gov). Clearinghouse data is available to assist Missions and may also be requested by email to [GPC@State.gov](mailto:GPC@State.gov).

¶8. Democracy Strategy Requirement: In accordance with Title XXI of P.L. 110-53, the Advancing Democratic Values Act (ADVA) of 2007 and with National Security Policy Directive-58 signed by the President in July 2008, all posts in non-democratic and democratic transition countries are required to incorporate their democracy strategy into their MSP. The required democracy strategies are to be forward-looking three to five years and should be incorporated into four parts of the MSP: the COM statement, the GJD Goal Paper, the Foreign Assistance priorities narrative section, and the Foreign Assistance and State Ops budget request section.

¶9. This replaces last year's requirement for a stand alone ADVA democracy strategy paper. It is designed to minimize the burden on posts and the Department while integrating the democracy strategy into the Mission Strategic Plan itself. (Note: The Advancing Freedom and Democracy Report - AFDR - is not affected by this and will remain as an annual reporting requirement.) Additional information regarding the Democracy Strategy requirement will be posted at <http://drl.state.gov/> Please direct any questions regarding the requirement to [pf-DRL-Reports@State.gov](mailto:pf-DRL-Reports@State.gov) (listed in the GAL as DRL-Reports).

¶10. MSP SECTIONS AND RESOURCE REQUEST GUIDANCE

The MSP contains the following sections: Chief of Mission Statement; Foreign Assistance Priorities; Goal Papers; U.S. Direct Hire Requests; State Operations Resource Requests; and Foreign Assistance Resource Requests.

¶11. Chief of Mission (COM) Statement: The COM Statement should focus on the mission's most important foreign policy priorities for the planning period, FY 2009-2011, and should serve as the MSP's Executive Summary. The COM

Statement should reference the highest priority resource requests for FY 2011 (Foreign Assistance, State Operations, and U.S. Direct Hires) and justify why and how these requests are critical to achieving mission and bureau goals. Past accomplishments should be included only if they set the strategic context for future mission goals and resource needs. The COM Statement can include information such as historical factors if relevant to current foreign policy goals, and should provide a summary of USG presence and any projected staffing changes for all agencies under Chief of Mission authority. The COM Statement is limited to four pages.

¶12. For ADVA Non-Democratic and Democratic Transition Countries:

STATE 00130301 004 OF 022

In addition to the guidance above and to comply with the Advancing Democratic Values Act (ADVA) and NSPD-58, the COM Statement for all non-democratic and democratic transition country posts should incorporate a description of post's democracy strategy that is broadly consistent with the strategic approaches appropriate for "threatened and fragile democracies", "authoritarian regimes" or "closed totalitarian" regimes as outlined in the NSPD-58. strategy that is broadly consistent with the strategic approaches appropriate for "threatened and fragile democracies", "authoritarian regimes" or "closed totalitarian" regimes as outlined in the NSPD-58.

¶13. The COM democracy statement should: (1) describe the democracy results you think are desirable and realistically possible if the diplomatic and assistance strategy you propose is implemented as planned in the three to five year time frame; (2) identify the major democracy issues or problems that need to be addressed in the country; (3) describe the opportunities for progress and the consequences of failing to address these issues; and (4) describe the diplomatic and assistance tools needed to overcome the major democracy issues and how these mutually reinforce each other.

¶14. Foreign Assistance Priorities: This narrative section should be completed only by missions requesting FY 2011 Foreign Assistance funding. It should complement the COM Statement by providing more specific details on the mission's Foreign Assistance priorities within the context of the overall mission goals outlined in the COM Statement, and justify why and how the requests in the Foreign Assistance Resource Request Table are critical to achieving the mission's goals. The foreign assistance narrative also must be consistent with the mission's democracy strategy as described in the COM statement and the GJD Goal paper and note how US democracy assistance complements, supplements or differs from other bilateral or multilateral assistance. Providing specific examples of how program performance has influenced the request is encouraged. Discussion of priorities should be organized by the Foreign Assistance Framework's five strategic objectives (Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance). There is no specific format required beyond the general organization noted above, though it is limited to three pages.

¶15. Goal Papers: Missions may write up to a total of seven goal papers and will be able to utilize goal papers carried over from the FY 2010 MSP or create entirely new ones. The key components of the Goal Papers are as follows:

¶16. Posts in non-democratic and democratic transition countries must submit a GJD goal paper. The GJD Goal paper should be a succinct summary statement of the GJD goals and the broad strategy to reach those goals.

-- Goal Title: Missions should craft their own customized, mission-oriented goal statements. The Goal Title can be broad or specific, but should focus on the mission's most important USG foreign policy priorities. The Goal Title is limited to one line of text and will populate the Table of Contents.

-- Goal Description: After defining a goal, missions should enter a more detailed goal description, outlining why achieving the goal is important to the U.S. and how

STATE 00130301 005 OF 022

the mission will accomplish this goal (i.e., what strategies will various mission elements pursue to achieve the desired results). Missions may wish to discuss other related activities such as: how they work with foreign partners, regional or international organizations, and NGOs; the long-term nature of the goal; external factors that could influence achieving the goal; etc.

-- Department Goal Linkage: Missions will link each customized goal to up to three State/USAID Strategic Goals through a drop-down menu. Missions may link their goal to any of the State/USAID Strategic Goals as outlined in the FY 2007-2012 Department of State and USAID Strategic Plan.

-- USG Agencies: From a drop-down menu, missions will select key USG agencies that have a role in helping to accomplish the customized mission goal.

-- Performance Indicator(s): For each customized goal, missions are required to include only one performance indicator, with an option for a second. Indicators should focus on the accomplishment of the mission's high-level foreign policy goals, and not solely on assistance. Missions are encouraged (although not required) to include quantifiable and outcome-oriented indicators whenever possible. Missions may include a mix of indicators that are within the mission's control and those more contextual in nature, such as the Freedom House Index. However, indicators are most useful when they can be linked to either existing or proposed resource requests. Missions are encouraged to continue to use priority indicators from last year's MSP. Performance indicator captions are limited to three lines of text and should be phrased as neutral measures, not as outcomes, e.g. number of international treaties and domestic initiatives implemented in support of USG global climate change policy objectives. Additional Foreign Operations performance data will also be collected separately. Details to follow.

-- Performance Targets and Results: Missions will set performance targets for FY 2009, FY 2010, and FY 2011 for each performance indicator. If a mission utilizes previous MSP indicators, they should include the previous FY 2008 target and a FY 2008 result. Performance targets and results are limited to eight lines of text each. In an effort to clarify mission performance RM/SPP has created a drop-down menu in the MSP application where missions will enter a performance rating relative to the FY 2008 performance indicator target. The FY 2008 result is considered "on target" only when the target was reached exactly as stated or "above target" if exceeded. Results which are lower than the target, but improved over prior year's performance should be labeled as "improved over prior, but not met." Results that do not meet target and do not improve over prior year, should be labeled as "below target." Finally, data that is not available at the time of publication of the report, e.g., collected later in the year or every other year or a new measure is created, should be labeled "data not yet available."

17. RESOURCE TABLES. Included within the resource tables are the following: U.S. Direct Hire Requests, State Operations Resource Requests, and Foreign Assistance Resource Requests. Funding increase requests should be focused on highest priority, critical areas and be supported by sufficient justification that can be reviewed



for potential support by senior Department management.

¶18. U.S. Direct Hire Requests: Missions will include

STATE 00130301 006 OF 022

position information and succinct justifications for each FY 2011 State-funded position request. Justifications will be limited to ten lines. U.S. personnel requested for other U.S. agencies are also included in this table; however one justification is entered at the agency-level rather than for each requested position. The most important staffing needs should also be highlighted in the COM statement and linked to critical mission priorities or operational requirements.

¶19. Missions will enter position support costs for individual requests in the Human Resources request screen. Use the following guidelines to determine the position support costs for new USDH human resource requests:

¶20. Position Support Costs (not including OBO and DS Position Support Costs)

- Recurring Cost - non-salary and benefits position support costs (not including OBO and DS Position Support Costs) that are incurred repeatedly; for example, educational allowances and field travel.
- Non-Recurring Cost - non-salary and benefits position support costs (not including OBO and DS Position Support Costs) that are unlikely to occur again in the normal course of business; for example, new office furniture, fixtures and equipment and make ready/move-in expenses.

¶21. OBO Position Support Costs

- Recurring OBO Costs -non-salary position support costs that are incurred repeatedly; for example, residential leases.
- Non-Recurring OBO Costs - non-salary position support costs that are unlikely to occur again in the normal course of business; for example, generators for a new residence.

¶22. DS Position Support Costs

- Recurring DS Costs- non-salary position support costs that are incurred repeatedly; for example, allowances, residential guards, mobile patrols, ICASS costs, utilities, etc.
- Non-Recurring DS Costs - non-salary position support costs that are unlikely to occur again in the normal course of business; for example residential security upgrades for a new residence, furniture, furnishings, and equipment purchases. (Note that funding for a replacement life cycle would need to be established for certain large equipment purchases such as vehicles.)

¶23. Missions will also be asked to determine a "responsible bureau" for each new USDH position request. The "responsible bureau" is the bureau responsible for deciding if that position should be created and requested in the CBJ. Funding is considered separately in different fields. The responsible bureau field will be edited in Washington in the event that a correction must be made.

¶24. This section will display previous year MSP State position requests and the regional bureau's decisions during the Bureau Strategic Planning process to approve or deny the request. If previous requests were not included in the FY 2009 or FY 2010 budget submissions, posts may resubmit them as FY 2011 requests. As in previous years, FY 2011 position requests will be reviewed by regional bureau EX offices prior to transmittal to HR and RM/BP. A summary FY 2011 U.S. Direct Hire Requests table will be

STATE 00130301 007 OF 022

included in the submitted MSP.

¶25. Human Resources Summary: The human resources summary table is organized by section (e.g. POL, ECON, MGMT). Other USG positions are not required though they will appear in the summary printed table. The total number of FY 2009 FTEs by section will be pre-populated into the MSP from HR's PASS Post Personnel (PS) system. Use of Post Personnel source data will ensure consistent position counts, eliminate the need for posts to maintain separate data, and be consistent with the policy mandate that the PS application be the Gold Standard for reporting overseas positions. Any inconsistencies in HR numbers should be corrected directly in the PS system. Direct inquiries to PassHelpDeskMail@state.gov or 202 647-7760.

¶26. State Operations Resource Requests: This section includes separate account tables for FY 2011 Program, ICASS, and PD, and Fee-Funded (position support costs only) increases/decreases. Missions will request FY 2011 account increases/decreases by funding category. Missions will include one total funding request and combined justification for each category by account.

¶27. At the end of each account table, missions can discuss FY 2011 resource priorities in a short narrative section. The priority statement will inform regional bureau decision-making process. A summary FY 2011 State Operations Resource Requests table will be included in the printed MSP.

¶28. Use the following guidelines to determine changes to state operations funding. (Missions will enter position support costs for individual requests in the Human Resources request screen.):

- LES (Salary and Benefits) -Recurring Cost- specific salary, benefits and new support costs of NEW locally engaged staff request(s) and FY 2011 LES wage increase(s). Narrative justification should provide a specific basis for the request; indicate the need that will be addressed with the funding; and specify position(s) by grade and a breakdown of the total cost for EACH position.
- Furniture and Equipment - Non-Recurring Cost-funding for the purchase of new furniture and office equipment for existing employees. Furniture and equipment costs for new positions are defined in the Position Support Costs funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each major item(s).
- Other-Recurring Cost- all recurring State Operations INCREASES that are not covered in other State Operations funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each major item(s).
- Other-Non-recurring Cost- all non-recurring State Operations INCREASES that are not covered in other State Operations funding categories. Narrative justification should provide a basis for the request; indicate the need that will be addressed with the funding; and a breakdown of the total cost for each item(s).
- Vehicles -Non Recurring Cost (ICASS only)-funding for the purchase of any new vehicles for existing employees. Narrative justification should indicate the need that will be addressed with the new vehicle(s).

STATE 00130301 008 OF 022

¶29. Within the MSP software application, missions can view the FY 2010 MSP requests and bureau decisions. Missions should consult with their bureaus on whether these positions have been incorporated into subsequent FY 2009-2010 budget requests, and may choose to re-request a

category item requested, but not granted previously and should re-enter this information as a new FY 2011 request.

¶30. Classification and Distribution: MSPs are considered internal deliberative documents, classified as Sensitive But Unclassified, and will not be distributed beyond agencies represented at the mission. The Chief of Mission Statement is the definitive strategy document for the mission and may receive wider internal distribution than the other MSP components.

¶31. Missions are strongly encouraged to share their MSPs, at the very least the COM Statement, with the appropriate contacts, including Polads, within the geographic combatant commands. As part of the ongoing discussions in a sub-PCC working group on planning there is a strong consensus on the importance of civilian and military planners informing each other of country and regional level priorities.

#### 32.OFFICE OF THE DIRECTOR OF U.S. FOREIGN ASSISTANCE GUIDANCE:

This section provides details about the requirements and information needed for field-based operating units with foreign assistance (FA) funding to prepare their FY 2011 foreign assistance resource requests. It contains important changes to the FA resource request process, particularly regarding budget preparation and submissions for regional platforms. The key changes to the guidance include:

- (a) The "Freeze" level will be the straightline of the FY 2010 S-Approved level (formerly the "Constrained" level).
- (b) The "Mission Request" level will be the mission expanded request (formerly the "Preferred" level).
- (c) Control levels (pre-set funding levels) will be incorporated into the "Freeze" table by Operating Unit by Account, and funding for certain centrally-allocated activities and accounts will be locked into both the "Freeze" and "Mission Request" tables.
- (d) Cross-cutting Activities Table is no longer required.
- (e) Cross-Cutting Program Support (Objective 6) will not be broken out as part of either the "Freeze" or "Mission Request" levels at this time.
- (f) Performance Indicators will be required to justify requests for significant increases over the "Freeze" level. See paragraph 27 for more details.
- (g) The USAID-Managed Resources Table is no longer required.

33.All key documents, including budget levels, templates, points of contact and additional information resources necessary for completing FA requests are available through the FA link on the MSP help page.

¶34. Resource Tables: Operating Units will develop two FA resource request tables for their FY 2011 submissions. The first table, the "Freeze" table, cannot exceed the FY 2010 S-Approved level for that mission. The second table, the "Mission Request" should correspond more closely to FA needs and is not limited to the "Freeze" level. Account controls will be incorporated into the "Freeze" table but there are no account controls in the "Mission Request"

STATE 00130301 009 OF 022

table, except as noted below. Control numbers for certain centrally-allocated activities and accounts will be locked into both the "Freeze" and "Mission Request" tables. Operating Units are encouraged to submit reasonable requests that expand successful programs or fund new programs where significant funding constraints have existed. Information on earmarks, centrally-allocated activities and accounts, and Presidential Initiatives are available through the FA link on the MSP help page.

¶35. While FA requests included in MSPs serve as the



foundation for the FY 2011 foreign assistance request process, there is no guarantee that Operating Units will receive funding at either the Freeze or Mission Request levels, or that the approved budget distributions will match MSP submissions.

¶36. Although the MSP application allows Operating Units to request Transition Initiatives (TI) funding, as a rule Operating Units should not request funding from this account. For guidance on other restricted accounts and activities, see the Freeze Request and Mission Request paragraphs below.

¶37. Freeze Request Table: The Freeze request total must maintain funding at the 2010 S-Approved Level by Operating Unit. In the Freeze request, Operating Units should distribute the total Freeze request level across accounts, and then allocate those account amounts down to the area level (element for IIP). Note that, except as specified below, there are no control levels on specific accounts. Operating Units may generally make adjustments within and between Program Area, (Program Element for the Investing in People Objective), and account levels, provided that the total amount requested for the mission does not exceed its total control level. Funding levels for the following centrally-allocated activities and accounts will be pre-loaded and locked into the Freeze Table:

- Non-Emergency Food Aid (P.L. 480)
- HIV/AIDS (all accounts)
- Malaria

¶38. Mission Request Table: The Mission Request table can be used to request funding for FY 2011 above the total Freeze level, either to expand successful programs or fund new programs where significant funding constraints exist. Operating Units should be reasonable in their requests. In reviewing these requests, F reviewers in Washington will be particularly interested in determining how past performance informs requests for changes in resource levels. Significant increases must be justified using performance indicators (see paragraph 27). Funding for the following centrally-allocated activities and accounts will be pre-loaded and locked into the Mission Request Table:

- Non-Emergency Food Aid (P.L. 480)
- HIV/AIDS (all accounts)
- Malaria

¶39. Operating Units are also encouraged at a minimum to adhere to the Freeze levels for the following activities that were funded in FY 2010 due to the likelihood that these items will be earmarked or centrally-allocated.

- Export Control and Border Security Assistance (NADR account)
- Anti-Terrorism Assistance (NADR account)
- Terrorist Interdiction Program (NADR account)
- Counterterrorism Financing (NADR account)

STATE 00130301 010 OF 022

- Family Planning and Reproductive Health
- Polio (the Maternal and Child Health element must at a minimum cover Polio)
- Tuberculosis

¶40. While Missions are expected to adhere to the pre-loaded and locked Freeze and Request levels, they can comment on the levels being too high or too low and the probable result/impact of these levels. Foreign Assistance Priorities Narratives: Ongoing Foreign Assistance reforms aim to strengthen accountability for the performance and strategic impact of the Foreign Assistance budget. While we can expect many activities to produce important short-term results, it is also critical to demonstrate that Foreign Assistance contributes to strategic long-term progress - so that recipients are increasingly able to assume responsibility for meeting

their own needs, are able to act responsibly in the international system, and are decreasingly dependent on U.S. and other external assistance over time. It is recognized that this strategic progress requires sustained effort by both donors and recipients, and is not easily measured within a one-year budget planning cycle.

¶41. As one step toward improving accountability for program performance, each Mission is required to provide a narrative explaining the strategic basis for its FY 2011 Foreign Assistance priorities. An example of an FA priorities narrative will be available on the FA link on the MSP help page. Narratives should include the following:

- a) Summarize the Mission's core strategic goals for its Foreign Assistance programs (recognizing that the scope of Foreign Assistance goals may be narrower than the scope of overall Mission foreign policy goals);
- b) Describe, justify, and prioritize the specific proposals for additional resources shown in the Mission Request table (i.e., program area and IIP element level proposals that exceed the levels shown in the Freeze table), linking those proposals to the core strategic goals summarized in the previous section;
- c) Describe any cross-cutting strategic integration among different Foreign Assistance programs, and how those programs may be mutually-reinforcing in the context of the Mission's overall strategic goals;
- d) Describe how proposed Foreign Assistance programs and other U.S. foreign policy tools (e.g., diplomatic interventions or military operations) may be mutually-reinforcing;
- e) Cite previous program performance (which may be drawn from the Budget and Performance Analysis (BPA) sections described below) or other relevant data that demonstrate why proposed additional resources can be expected to achieve the desired strategic results;
- f) Identify risk factors that may significantly affect expected program performance;
- g) Indicate if there are significant impacts on Operating Expenses requests;
- h) Where applicable, explain the extent to which earmarked or centrally-allocated funds (particularly in the health Elements) limit the ability to sufficiently budget for other ongoing and important programs in the Freeze request and Mission Request.

¶42. Four other general principles apply when writing FA Priorities Narratives:

- a) Priorities must be specifically linked to relevant program areas or IIP program elements within the five

STATE 00130301 011 OF 022

objectives of the Standard Program Structure for Foreign Assistance (Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance).

- b) Narratives should incorporate relevant information about assistance being provided by USG agencies other than State and USAID (including the MCC), and information about any assistance being provided by other multilateral or bilateral donors that is expected to significantly affect program performance.

- c) Operating Units that receive funding from regional or other programs should describe in their foreign assistance narrative how those funds will be used and what performance results will be achieved with them.

- d) MSP narratives should address how Foreign Assistance funds are being used to support partner country priorities as reflected in Poverty Reduction Strategy Papers (PRSPs) or other country development plans, foster local ownership of the program/process, and build capacity of country systems.

¶43. Note: Where Missions have an approved Country Assistance Strategy (CAS), the MSP should discuss how the

CAS supports the MSP. Missions with USAID programs but without an approved CAS should briefly discuss how the USAID strategy supports and is consistent with the MSP. If the USAID program is not covered by an active and approved USAID strategy, it should be stated. This will aid in scheduling succeeding CAS countries and identifying USAID programs that may need an interim USAID strategy pending a CAS per a recent USAID Notice.

¶44. Budget and Performance Analysis: As a continuation of the FY 2010 Congressional Budget Justification requirement from OMB for foreign assistance funds, Operating Units are also required to conduct a Budget and Performance Analysis for any increase from the Freeze to the Mission Request level that exceeds 10% and \$1 million at the program area or IIP element level. A BPA is only required for increases that meet this threshold. A BPA consists of i) a brief explanation (one paragraph) of the impact the proposed increase would be expected to have on the Mission's highest level strategic goals; and ii) selection of a performance indicator that will best measure program performance against those strategic objectives. Each BPA should be linked to the Mission's FA Priorities Narrative (described above). For Operating Units with multiple increases exceeding these parameters, the number of BPAs required is capped at a maximum of five. Operating Units with more than five increases above 10% and \$1 million should conduct BPAs on the five largest increases.

¶45. A template for representative indicators and narratives can be found on the MSP home page. This template includes detailed guidance with examples on how to conduct a BPA. The table requires actual performance data from FY 2008 and targets for FY 2009-11.

¶46. Where appropriate, Operating Units are encouraged to use an FA performance indicator for both a Goal Paper and for a BPA, though it is not required. However, if an Operating Unit chooses to use an FA performance indicator for both a Goal Paper and a BPA, the Operating Unit will need to fill out the information in both the MSP system and the FA template if they are using the same indicator in both locations.

¶47. Goal Papers and Foreign Assistance: Please see the  
STATE 00130301 012 OF 022

discussion of Goal Papers in Paragraph XX of the guidance.

¶48. Questions about foreign assistance should be directed to State or USAID regional bureau planning/program offices as appropriate. Questions related specifically to the guidance above should be directed to 2011FABudget@state.gov. A list of State, USAID and F contacts is available via the FA link on the MSP Help page.

¶49. FUNCTIONAL BUREAU GUIDANCE:

¶50. As agreed with regional bureaus, the democracy strategies requirement is being integrated into the MSP to minimize the burden on posts and the Department and to consolidate our strategic planning. Each COM in non-democratic or transitioning countries is required to develop democracy strategies to promote "democratic principles, practices and values and to support, as appropriate, nongovernmental organizations, individuals, and movements committed to democratic principles, practices and values" under P.L. 110-53, the Advancing Democratic Values Act (ADVA). (for definitions, see Sec. 2104 of ADVA, Title XXI of H.R. 1, posted on the DRL intranet website). Details about the how the democracy strategies should be incorporated into the MSP can be found in the "MSP overview and guidance" section. In general, COM statements should reflect this directive, and posts should request sufficient Foreign Assistance funds to ensure they have the ability to implement robust Governing Justly and

Democratically (GJ&D) programs and activities. DRL requests that GJ&D goal papers focus on the four core elements of the F Foreign Assistance Framework for this objective: Rule of Law and Human Rights, Good Governance, Political Competition and Consensus-Building, and Civil Society (for definitions, see <http://www.state.gov/f/c24132.htm>).

Posts in democratic countries should focus their GJ&D objectives on ways to encourage host country support for human rights, labor and democracy initiatives elsewhere in the world.

51. Bureau of Economic, Energy, and Business Affairs (EEB): EEB encourages Missions to integrate economic goals into the MSP process. EEB's FY 2010 Bureau Strategic Plan lays out EEB's goals and policy tool indicators for advancing economic prosperity and security, combating terrorism and contributing to homeland security. Posts are also encouraged to use the Economic Engagement Matrix (<http://web.rm.state.gov/eed/eed.htm>) to help identify country or region-specific policy gaps.

Posts should highlight important work on setting priorities and standards that reflect USG goals at international organizations on a range of issues, such as market-opening agreements, energy security, information and communications technology penetration rates, food security, international transportation concerns, anti-corruption efforts, intellectual property rights issues, and effective poverty-reduction programs. Missions may wish to underscore the importance of the commercial function by developing performance indicators which highlight the impact of trade promotion and advocacy services.

Other indicators to consider include the acreage of biotech crops under cultivation and the status of emergency oil stockpiles.

Posts should consider indicators that stimulate the economies of developing nations and track efforts to increase U.S. trade and investment, and opportunities for

STATE 00130301 013 OF 022

U.S. business, including through Public Private Partnerships. In MCC eligible and threshold countries, MSPs should incorporate indicators measuring progress in the MCC's 17 performance indicators. Additional indicators could include benchmarks measuring implementation of structural economic reforms needed to obtain the assistance of the IMF or World Bank for countries in crisis.

Questions related to EEB guidance can be directed to Lillian Wasvary ([WasvaryLG@state.gov](mailto:WasvaryLG@state.gov)). Additional information can be found on our website, [www.state.gov/e/eeb](http://www.state.gov/e/eeb).

152. Office of International Women's Issues (G/IWI): MSPs should consider the integration of women's rights issues into all aspects of U.S. foreign policy. In 2008, G/IWI worked to raise awareness within the foreign policy community of global issues affecting women, including political and economic empowerment, forced/child marriage, women's property rights, violence against women, and the role of women in peace-building and post-conflict reconstruction. We encourage missions to develop programs and strategies that strengthen women's political, economic and social equality. Our office is available to all posts as a resource and advocate on international women's issues. We can be reached at (202) 312-9664; and our website is: [www.state.gov/g/wi](http://www.state.gov/g/wi).

153. Office to Monitor and Combat Trafficking in Persons (G/TIP):

As you prepare your FY 2011 MSP please note that Trafficking in Persons issues are covered in the Department's Strategic Goals under Achieving Peace and Security. Goal papers with performance indicators related to Trafficking in Persons issues should be linked to this

strategic goal. Inclusion of the anti-trafficking indicators reflects the Department's commitment to promote and support efforts to eradicate modern-day slavery as part of its foreign policy priorities. Goal papers should reflect diplomatic and programmatic efforts to assist governments in improving their anti-trafficking efforts, particularly in the law enforcement and judicial efforts to arrest, prosecute, convict and sentence traffickers, as well as enhancing the capacity of service providers to assist victims, and identifying ways to prevent victimization. Posts should review the country narratives in the Department's annual Trafficking in Persons Report for specific areas requiring attention. Posts should also support anti-trafficking awareness training for embassy and mission personnel that includes guidance on handling information concerning potential trafficking situations as well as information on the USG's zero-tolerance policy for contributing to or facilitating human trafficking. Please contact Paula Goode at [goodepr@state.gov](mailto:goodepr@state.gov) with any questions. Information on trafficking in persons is available at [www.state.gov/g/tip/](http://www.state.gov/g/tip/).

**¶54. Bureau of International Narcotics and Law Enforcement Affairs (INL):**

This guidance is for officers at posts implementing programs with Andean Counterdrug Program (ACP) and International Narcotics Control and Law Enforcement (INCLE) funds. Within the strategic framework established by the Director of Foreign Assistance (F), ACP and INCLE funded programs contribute towards the objectives of Peace and Security, and Governing Justly and Democratically.

STATE 00130301 014 OF 022

Most ACP and INCLE Peace and Security programs fall within the following F program areas: Stabilization Operations and Security Sector Reform, Counter-Narcotics, and Transnational Crime. Most Governing Justly and Democratically programs fall within the Rule of Law and Human Rights program area.

INL requests that posts use the Foreign Assistance Priorities section of the MSP to discuss on-going ACP and INCLE programs. If the MSP includes an increased funding request for a new or significantly expanded program, please include this request in the Foreign Assistance Priorities section and in the Foreign Assistance resource tables, as appropriate. Include requested staff increases for full time Narcotics Affairs Officers or Law Enforcement Affairs Coordinators in the Foreign Assistance Priorities section and in the Foreign Assistance resource tables; these staff positions are not funded through State Operations and must be accounted for through the Foreign Assistance resource requests. If the requested increase in funding is substantial, please elevate its discussion to a Goal Paper. Any performance indicators included in the MSP should coincide with those used in the Operational Plan and in Bilateral Letters of Agreement. Please send questions to Keira Goldstein ([goldsteinka@state.gov](mailto:goldsteinka@state.gov)) or Larry Bird ([birdlf@state.gov](mailto:birdlf@state.gov)).

**¶55. Bureau of International Security and Nonproliferation (ISN):**

The EAP region is an important focus of ISN's policies and programs, and we seek embassies' continued assistance and cooperation in combating the proliferation of weapons of mass destruction (WMD) and the threat of WMD terrorism. A high priority is the disablement of North Korea's nuclear program. We coordinate closely with Japan and Australia to promote common nonproliferation objectives. We seek enhanced cooperation with China, and look for opportunities to collaborate with EAP countries in multilateral fora. We rely on embassies' assistance to promote our objectives and programs, in particular: the Global Initiative to Combat Nuclear Terrorism; the Proliferation Security Initiative; implementation of Iran



and North Korean UN Security Council Resolutions; proliferation finance; implementation of UNSCR 1540; strengthening the NPT and IAEA safeguards and other arms control/nonproliferation agreements; promotion of peaceful nuclear energy consistent with strict nonproliferation standards; and controlling conventional weapons transfers, including MANPADS. We ask that you recognize the importance of these objectives and report your activities and goals, as appropriate, in your MSPs. Please see <http://state.gov/t/isn> for details of the Bureau's activities. Questions can be directed to Jamie Young ([youngja2@state.gov](mailto:youngja2@state.gov)). ISN manages two NADR foreign assistance programs of relevance to the region: -- Export Control and Related Border Security (EXBS) provides targeted assistance to strengthen countries' strategic trade and border control infrastructure and capabilities aimed at preventing WMD (and MANPADS) proliferation and trafficking. The program is centrally planned and implemented by ISN, but we work closely with embassies, in particular the regional EXBS officer, to tailor programs for their countries and encourage posts to address the program in MSPs. This program falls under 1.2.1 (Peace and Security, Nonproliferation) in the FA matrix. For details on the EXBS program, see our website at [www.exportcontrol.org](http://www.exportcontrol.org) or contact Lisa Jacobson at [JacobsonLE@state.gov](mailto:JacobsonLE@state.gov). -- Global Threat Reduction (GTR) programs provide

STATE 00130301 015 OF 022

assistance to prevent the proliferation of WMD expertise and materials, and have the added benefit of contributing to general science and technology development, economic growth, and counterterrorism. GTR's programs include the Biosecurity Engagement Program, the Chemical Security Engagement Program and the Preventing Nuclear Smuggling Program. For more information on these and other GTR programs, see our websites at [www.bepstate.net](http://www.bepstate.net); [www.biistate.net](http://www.biistate.net); [www.stcu.int](http://www.stcu.int); [www.istc.ru](http://www.istc.ru); [www.nsoi-state.net](http://www.nsoi-state.net); or contact Matthias Mitman, Director ([MitmanMJ@state.gov](mailto:MitmanMJ@state.gov)) Bureau of Democracy, Human Rights and Labor (DRL): As agreed with

156. Bureau of Oceans, and International Environment and Scientific Affairs (OES): OES encourages all Environment Science Technology and Health (ESTH) officers and Environmental Hub officers in the field to participate actively in the MSP development process. While much of ESTH work is centered in Investing in People (health, including water) and Economic Growth (Environment Program Area, and Infrastructure/Modern Energy Services), it can also reinforce our efforts at Peace and Security, Governing Justly, and Humanitarian Assistance by promoting sustainable economies while reinforcing rule of law and transparent democratic institutions in key sectors. Accordingly, Posts are encouraged to look to the ESTH officers, Hub officers, and OES for assistance in identifying mission priorities and programs in the ESTH field that support the Post's strategic vision and priorities. Top OES priorities include:

- Advancing the U.S. agenda on climate change
- Interactions with China across a range of issues, from natural resource protection to energy and climate to science and technology
- Pollution abatement
- Promoting the sustainable use of renewable natural resources, including forests, wildlife, and marine resources
- Improving access to safe water and sanitation services
- International cooperation with respect to the Arctic
- Preparing for the challenges posed by polio, malaria and other infectious diseases
- Compliance with the environmental aspects of trade agreements

157. Public Diplomacy (PD):

Posts are encouraged to submit a separate PD paper and urged to ensure that PD is fully reflected in all goal papers. Given the crosscutting nature of public diplomacy, it is important to include a discussion of it in the COM statement. For Public Diplomacy MSP Goal Papers, posts should use indicators that appear on the list of Office of Management and Budget (OMB) approved PD performance indicators and reflect PD's adherence to federal government mandates. A link to the PD indicators can be found on the MSP Policy Guidance page under the heading Useful Documents. Our core list of indicators, 15 for PD and 8 for IIP, is meant to ease the burden of writing and/or identifying acceptable performance indicators for goal papers. Use of the core PD indicators helps us in our engagement with OMB, GAO and Congress. Please contact Cherreka Montgomery (montgomeryce@state.gov) with any questions concerning public diplomacy indicators and goal papers.

158. Bureau of Political-Military Affairs (PM):

STATE 00130301 016 OF 022

PM issues are included in the Department's Strategic Goal, "Achieving Peace and Security." Our assistance is focused on priorities within counterterrorism, weapons of mass destruction and destabilizing conventional weapons, security cooperation, and security sector reform. Funding for military or defense-related programs, projects, or training includes Foreign Military Financing (FMF), International Military Education and Training (IMET), and Peacekeeping Operations (PKO) resources. PM priorities include: using strategic and focused foreign assistance to prevent and resolve conflicts, enhancing regional stability by strengthening ties with friends and allies and resolving regional conflicts, and supporting the war on terrorism. The focus should be on the development of accountable, appropriate, effective, interoperable, and professional security forces and institutions, almost always under the command and control of the Ministry of Defense (with rare exceptions on case-by-case review, led by Political-Military Affairs in consultation with the Legal Advisor's Office). Posts should delineate assistance activities that address short-term needs (e.g., deployment to an existing peacekeeping operation) as well as longer-term goals (e.g., military modernization, security sector reform, or building niche capabilities for coalition operations). In listing the external factors that could influence the goal's accomplishment in the "Goal Description" section, please also indicate a relationship to external funding sources (to include those provided by the Department of Defense) to meet the same goals. Missions planning to request NADR Conventional Weapons Destruction program resources are asked to justify according to the following priorities: prevent/reduce terrorist access to conventional weapons (with priority given to MANPADS) and munitions and foster regional stability through improved security. For humanitarian demining (HD) programs, or International Trust Fund (ITF) support, guiding priorities are: contribute to humanitarian efforts by protecting the victims of conflict, restore land and infrastructure contaminated by explosive remnants of war to productive use, and prevent civilian injuries from the detonation of unstable and/or loosely secured munitions near population centers. Under external factors, missions are requested to include external funding sources (DOD, UN, regional organizations, etc.) to meet the same goals, and explain how U.S. assistance would augment or complement any ongoing work. Civilian-Military Cooperation In accordance with the USAID Policy on Civilian-Military Cooperation, in locations where appropriate, the Chief of Mission should ensure effective coordination among all US civilian and military entities in the country in support of US objectives. The MSP should address the following:

¶1. Civil-Military Cooperation. Briefly describe the state of civil-military cooperation at post, including future plans or opportunities, and highlight any activities for FY 2011 (e.g.; ship visits or civil affairs activities) which demonstrate civil-military cooperation.

¶2. Ongoing Programs. Where programs are currently being implemented jointly by civilian agencies and the US military, describe how they contribute to the overall achievement of Mission goals.

¶3. Coordination mechanisms. Operating units should discuss formal coordination mechanisms at post between military representatives and civilian agencies, particularly those that employ joint planning approaches. For ongoing 1206, Foreign Military Sales (FMS) or International Military Education and Training (IMET) or

STATE 00130301 017 OF 022

related programs implemented by the military at post, discuss how they complement or enhance civilian efforts.

¶4. Opportunities: If the post has identified opportunities for enhanced civilian-military cooperation that require further Washington involvement, or for which Washington civilian agency support is requested.

¶59. Bureau of Population, Refugees, and Migration (PRM): Humanitarian assistance is a relevant objective for posts in countries: (1) hosting refugees, internally displaced persons (IDPs), stateless populations, vulnerable migrants, and/or victims of trafficking; (2) receiving refugee returnees; (3) experiencing or at risk of humanitarian crisis; (4) developing migration management systems; or (5) providing significant donor support to international humanitarian organizations. The Bureau of Population, Refugees, and Migration (PRM) serves as a resource to Posts on any of these issues; please see detailed MSP guidance at <http://prm.state.gov>. Please contact Deborah Hooker at [HookerDJ@state.gov](mailto:HookerDJ@state.gov) or (202) 663-1042.

PRM funding includes the Migration and Refugee Assistance (MRA) and Emergency Refugee and Migration Assistance (ERMA) accounts, located under the Global/Functional category of the Foreign Assistance Framework, including the following program areas: Protection, Assistance and Solutions and Migration Management. These funds are programmed by PRM and covered in PRM's Bureau Strategic Plan. Although neither MRA nor ERMA is available for programming directly by posts, and although MSPs should not include requests for these funds, the humanitarian issues/objectives should be referenced in MSPs. If there are key humanitarian assistance needs relating to refugees, IDPs, or other conflict victims that could benefit from other funding sources available to post, posts should include these in their budget requests. Information provided by posts informs funding decisions made in Washington. Region-specific guidance below supplements PRM's detailed MSP guidance (see <http://prm.state.gov>), which defines humanitarian programs and relevant indicators.

Humanitarian assistance in East Asia emphasizes support throughout the region for Burmese refugees, IDPs, conflict victims and stateless persons, North Korean refugees and vulnerable migrants, Hmong asylum seekers, and protection of other refugees, asylum seekers, stateless persons, TIP victims and other vulnerable migrants in Mongolia, Thailand, Vietnam, Cambodia, Malaysia and Indonesia. Resettlement of Burmese refugees in Thailand and Malaysia to the United States remains a priority.

¶60. Office of the Coordinator for Reconstruction and Stabilization (S/CRS):

In preparation for this year's Mission Strategic Plan (MSP), posts facing current or potential conflict, particularly those on the Intelligence Community's Internal Instability Watchlist (available at [www.state.sgov/s/crs/](http://www.state.sgov/s/crs/)), or identified by F as a Rebuilding country, are requested by S/CRS to include an analytical

paragraph in the Chief of Mission Statement on conflict in the country or region. The paragraph should identify key causes of current or potential conflict and highlight any recent or anticipated changes in the situation. Posts should identify what opportunities exist to address conflict, and describe how the country team is planning to respond including allocating resources. Missions should discuss their ability to monitor and influence sources of conflict and indicate what, if any, additional resources

STATE 00130301 018 OF 022

would be required to do so, including assistance from the Office of the Coordinator for Reconstruction and Stabilization (S/CRS). Posts should also consider conflict issues in developing goal papers and relevant indicators for the MSP. S/CRS can assist Missions in conducting this analysis and targeted planning, including addressing contingencies, using tools such as best practices guides, the Interagency Conflict Assessment Framework, and the USG Planning Framework for Reconstruction, Stabilization, and Conflict Transformation and possible access to Reconstruction and Stabilization funds through the use of 1207 authority. For more information or to request any of these services from S/CRS, please contact [s/crs\\_rmo@state.gov](mailto:s/crs_rmo@state.gov). Information is also available from <http://www.crs.state.gov.60>. Office of the Coordinator for Counterterrorism (S/CT):

¶61. Office of the Coordinator for Counterterrorism (S/CT): Posts that choose to write a CT goal paper should structure it by the following expected outcomes: the extent to which the government of the foreign country is cooperating with the United States Government in apprehending, convicting, and punishing terrorists; the actions by the country eliminating terrorist safe havens; country's political will in WoT, including passing and implementing legislation; country's receptivity to ATA and other training; and assessment of results; building coalitions in regional and multilateral organizations, including terror finance regimes; efforts in border security; efforts to fight radicalization and/or rehabilitate and reintegrate lower-rung terrorists back into society. Posts in major donor countries may wish to identify those nations, support for key U.S. objectives in the developing world, such as capacity-building and improving governance in failed or fragile states. Questions should be directed to Dan Rosen ([RosenDA@state.gov](mailto:RosenDA@state.gov))

¶62. Office of the Global Aids Coordinator (S/GAC): S/GAC urges countries with significant or growing epidemics to make HIV/AIDS programming and public diplomacy a priority in their FY 2011 MSP. Any HIV/AIDS indicators included should be consistent with President's Emergency Plan for AIDS Relief (PEPFAR)-approved indicators. S/GAC urges countries with a significant proportion of their FY 2009 USG budget in HIV/AIDS funding to develop a goal paper specific to HIV/AIDS; other countries are encouraged to include HIV/AIDS in a health /Investing in People goal paper. The goal paper should describe critical interventions in prevention, treatment, and care and emphasize the importance of continued coordination with PEPFAR implementing USG agencies, and improved leveraging of other donor resources, especially the Global Fund. For Missions that are developing PEPFAR Partnership Compacts with the host governments, please provide a brief description of the five-year strategy for the partnership. While requests for PEPFAR-funded staff are made through the Country Operational Plans (COP) and mini-COPs, Missions are asked to consider recent or anticipated requests for increases in PEPFAR staff when evaluating requests for Embassy and Mission management and operations support for the program in country. If Posts have further questions on this guidance, please

contact Sara Allinder (AllinderSM@state.gov) or Karin Fenn (FennKM@state.gov).  
Global HIV/AIDS Initiative (GHAI) Account

STATE 00130301 019 OF 022

The control numbers provided for the GHAI account are subject to change and should not be considered final. The control numbers have been straight-lined from FY 2009 planning levels. FY 2009 planning levels are inserted as the control because FY 2010 Congressional Budget Justification (CBJ) levels are not yet available for the GHAI account in F OP countries. Planned Global HIV/AIDS funding levels are allocated through the PEPFAR interagency headquarters team. Therefore, Missions are asked not to request changes to the control numbers provided for HIV/AIDS at this time. GHAI levels are normally provided to countries in June prior to the fiscal year of appropriation. Missions may also know this account by its current name: Global Health and Child Survival-State (GHCS-State).

163. Bureau of Verification, Compliance, and Implementation (VCI):

In support of the Department's efforts to achieve global peace and security, it is essential that verification requirements and capabilities are fully considered and appropriately integrated throughout the development, negotiation, and implementation of arms control, nonproliferation, and disarmament agreements and commitments. Compliance with these commitments must then be assessed and enforced on an ongoing basis. By securing the global community's acceptance of and active participation in verification and compliance regimes, we bolster the U.S. foreign policy agenda and enhance the credibility of treaties and agreements as effective instruments of international security. Urging governments and international organizations to acquire relevant information and data necessary for compliance assessments and to encourage enforcement of States Parties' compliance with their arms control, nonproliferation, and disarmament agreements and commitments is part of an ongoing process requiring active Department leadership within the U.S. national security structure here and by our diplomatic missions abroad.

Please include, as appropriate, the following objectives and activities as you develop your Mission Strategic Plan.

-- Engage in active diplomacy, bilaterally, at international organizations, and at multilateral conferences to strengthen international understanding of the need for full compliance with arms control, nonproliferation, and disarmament obligations and commitments, as well as the need for a robust international response to noncompliance.

-- Reference the findings of the President's "Report on Adherence to and Compliance with Arms Control, Nonproliferation, and Disarmament Agreements and Commitments" (<http://www.state.gov/t/vci/rls/rpt/c9721>) when planning for actions related to specific compliance issues involving host governments and seek cooperation with host governments to address countries of concern. (For details, contact Tim MacGregor, VCI Senior Advisor for Compliance, at [MacGregorTS@state.gov](mailto:MacGregorTS@state.gov).)

-- Actively support the verifiable elimination of North Korea's nuclear program, including all aspects of their nuclear weapons program as essential to the credibility of the nuclear nonproliferation regime and as a deterrent to other States who may seek to circumvent their obligations under other nonproliferation regimes. The denuclearization of North Korea also will pave the way for North Korea to fulfill their pledge to return to the NPT and IAEA Safeguards. (For details, contact Jeff Eberhardt, VCI/NA Director, at [EberhardtJL@state.gov](mailto:EberhardtJL@state.gov).)

-- Bolster Alliance solidarity as critical to addressing a

STATE 00130301 020 OF 022



more confrontational Russia and returning Russia to compliance with the CFE, bringing the Adapted CFE Treaty into force, and shaping future conventional arms control policy within an evolving Euro-Atlantic security framework. (For details, contact Donna Phelan, VCI/CCA Deputy Director, at Phelando@state.gov.)

- Support implementation of the Strategic Arms Reduction Treaty (START) under its terms; strengthening the strategic security relationship with Russia through implementation of the Moscow Treaty; and developing transparency and confidence building measures for a post-START arrangement. (For details, contact Jerry Taylor, VCI/SI Director, at TaylorJ@state.gov.)
- Seek support for Iran's compliance with UNSC Resolutions and IAEA Board of Governors' Resolutions requiring Iran to suspend its nuclear enrichment effort, cooperate fully with the IAEA to ascertain the true nature of Iran's past nuclear activities, restore international confidence in the peaceful nature of Iran's current nuclear program, and bring Iran back into full compliance with the NPT and its IAEA Safeguards agreement. (For details, contact Whitney Raas, at RaasWL@state.gov)
- Bolster support for enforcing compliance with nonproliferation treaties and commitments through physical interdiction and political and economic sanctions, where appropriate, (includes sanctions determinations pursuant to the semi-annual Iran, North Korea, Syria Nonproliferation Act); and urge host governments to enhance domestic laws and regulations to stem proliferation. (For details, contact Stephen Tomchik, Senior Advisor for Sanctions, at TomchikSJ@state.gov.)
- Support improved responses to potential biological weapons incidents in order to deter attacks and enhance U.S. ability to make compliance and attribution determinations. Promote compliance with the Biological Weapons Convention (BWC) and with efforts to ensure regional and universal compliance with the Convention. (For details, contact Brian Nordmann, VCI/BW Director, at NordmaBR@state.gov.)
- Promote compliance with the Chemical Weapons Convention (CWC) and work with the Organization for the Prohibition of Chemical Weapons to ensure that the verification regime remains viable and continues to keep pace with changes in the chemical industry and technological advances; support assessment of the robustness of the CWC inspection regime to ensure effective verification of declared military and industrial facilities. (For details, contact Johnathan Beckett, VCI/CCA Deputy Director for CW, at BecketJo@state.gov.)
- Support enhanced U.S. efforts to reduce the risk of conflict between countries that could result from accident, miscalculation, or misunderstanding, while supporting confidence building and transparency efforts through the Nuclear Risk Reduction Center (NRRC). The NRRC is manned 24/7 and maintains direct government to government communications links with Russia, Ukraine, Belarus, and Kazakhstan and communication links with the Organization for Security and Cooperation in Europe and the Organization for the Prohibition of Chemical Weapons. (For details, contact Ned Williams, VCI/NRRC Staff Director, at WilliamsNB@state.gov.)
- (VCI/FO Coordinator, Janey Wright, at WrightJF@state.gov.)

#### ¶64. MANAGEMENT BUREAU GUIDANCE

#### ¶65. Foreign Service Institute:

Posts are asked, as part of their strategic planning discussions, to consider training as a key element in the

STATE 00130301 021 OF 022

development and management of their human resources; and when proposing new or expanded activities that may involve a training component to factor in or note, when applicable, the impact to centralized training and post assignment travel resources that are overseen by FSI and

HR respectively.

166. Bureau of Consular Affairs (CA):

CA encourages all consular sections to ensure that consular priorities are properly addressed in the FY 2011 MSPs. Consular sections should critically examine their projected consular workload for FY 2011 and beyond and ensure any necessary facilities and personnel requests are included in the State Operations and U.S. Direct Hire Requests sections. Under the current strategic framework, consular services are addressed in the strategic goal on "Strengthening Consular and Management Capabilities," though our work also relates to the "Achieving Peace and Security" and "Promoting International Understanding" strategic goals.

Depending on foreign policy priorities in your country, posts may choose to include consular-specific goal papers or incorporate consular services into the COM statement or broader mission goal papers. For example, posts working to improve rule of law may want to include accession to multilateral treaties affecting private Americans (e.g. Hague adoption or abduction conventions, prisoner transfer treaties, etc.). Law enforcement capacity-building and security information-sharing may be top mission priorities, providing opportunities to highlight the contribution of consular fraud prevention objectives. Post public diplomacy efforts should address the consular role, both in public outreach and in the tangible experience of each individual applicant who visits the consular section. These priorities can have direct resource implications on your section, so we encourage you to take a good look at FY 2011 during the MSP process and plan for the opportunities and requirements it has in store.

If you have questions regarding consular priorities in the MSP process, please contact the CA/P Special Assistant at CA-PSpecialAssistant@state.gov or 202-647-5483.

167. Bureau of Diplomatic Security (DS):

DS is initiating coordination with all posts through a separate communication to RSOs to identify post's security-related requests and to integrate those requests into the DS strategic planning process and Congressional Budget Justification input. Post management should also consider security costs associated with new activities, policies, or programs and discuss them with their RSO for onward submission to DS in Washington.

For the purpose of the MSP, posts should highlight those security issues which significantly impact their ability to achieve strategic goals. These security requirements should be reflected, as appropriate, in the COM statement and the resource and position request tables.

168. Office of Policy, Rightsizing and Innovation (M/PRI):

The MSP is an excellent vehicle for COMs and their country teams to examine their operations in the context of rightsizing and quality management goals. Rightsizing: Duplicative functions at post should be consolidated. Functions that can be performed by personnel based in the United States or at regional offices overseas should not be performed at post. Posts should look for possibilities to empower locally employed staff so they may perform functions in place of U.S. direct hire personnel. In your

STATE 00130301 022 OF 022

reviews, should you find staffing to be either excessive or inadequate to the performance of priority Mission goals and objectives, please initiate staffing change requests in accordance with established procedures. It is vitally important that all elements and agencies in the mission participate in the preparation of the MSP. A review of new non-State overseas positions requested through the NSDD-38 process has found that only a small percentage of them had been included in those missions' MSP submissions, suggesting that there needs to be better integration of all agencies' plans in the MSP process.

